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ABSTRACT

This catalog provides performance objectives and performance guides reflecting 101 tasks being performed by workers in the records management field. The catalog is based on a records management survey of 300 records management professionals throughout the United States and Canada regarding task performance. Following a list of terms used in records management and a list of equipment and materials needed, the tasks are arranged according to the following 10 duty categories: general records management, records organization and evaluation procedures, active records, inactive records, vital records, micrographics, forms control, correspondence control, reports control, and reprographics. Each duty contains a number of tasks with a performance objective and performance guides. Appendixes to the document contain sources of the standards, equipment and tools needed in records management, a bibliography, and a cross-reference table of task performance by records management job categories. (KC)

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A CATALOG OF

PERFORMANCE OBJECTIVES AND

PERFORMANCE GUIDES

for

RECORDS MANAGEMENT

prepared by

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prepared for

Department of Education
Research Coordinating Unit
Harrisburg, Pennsylvania

NOVEMBER, 1980

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TABLE OF CONTENTS

	Page
ACKNOWLEDGMENTS	3
INTRODUCTION	4
DEVELOPMENT OF THE CATALOG	5
PURPOSE OF THE CATALOG	6
DEFINITION OF TERMS	7
STANDARD WORK SET	8
PERFORMANCE OBJECTIVES AND PERFORMANCE GUIDES	9
APPENDIX A: SOURCES OF STANDARDS	111
APPENDIX B: EQUIPMENT AND TOOLS	113
APPENDIX C. RECORDS MANAGEMENT BIBLIOGRAPHY	114
APPENDIX D: CROSS-REFERENCE TABLE	116

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Mr. John Richter, Commonwealth Land Title Insurance Company

Needles to say, their input was invaluable in helping to make this catalog a reality.

INTRODUCTION

This records management catalog of performance objectives and performance guides was developed in accordance with the procedures established by the Vocational-Technical Education Consortium of States (V-TECS). Such procedures included: (1) development of task statements; (2) selection of a representative sample of incumbent workers in the occupational area; (3) administration of the task statement inventory to the incumbent worker sample; (4) computerized analysis of the information collected from the sample; (5) conversion of the task statements into a catalog of performance objectives and performance guides; (6) a field review; (7) development of the final catalog; and (8) a dissemination program.

Such uniform procedures are used to ensure confidence in the product, eliminate duplication of effort, and produce a job-referenced vocational program data base for use in developing performance-based curricula.

DEVELOPMENT OF THE CATALOG

The present catalog containing performance objectives and performance guides for 101 task statements was based on a national records management survey of job incumbents conducted during the Spring of 1979 by Dr. Patricia E. Wallace, the project director.

The Wallace study surveyed 300 records management professionals throughout the United States and Canada regarding task performance based on 141 records management tasks assembled into eight duty categories. This data was interpreted by job category of the respondents to yield information concerning entry-level, intermediate, and advanced positions in the records management profession.

This previous study by Wallace, thus, provided the necessary background information for conversion of the task statements into the present catalog of performance objectives and performance guides.

PURPOSE OF THE CATALOG

This catalog was prepared to provide performance objectives and performance guides reflecting those tasks being performed by workers in the records management field.

The performance objectives and performance guides were developed by a writing team composed of individuals who work in the occupational area, instructors, and curriculum development personnel.

This final catalog will assist program planners and curriculum developers in the following ways:

1. Performance objectives may be compared to existing programs for possible inclusion.
2. Performance objectives may be adopted as the basis for new curriculum development.
3. Performance objectives may be shared with the student prior to instruction, revealing the anticipated competencies which should result from instruction.
4. Performance objectives may be used as the basis for developing criterion-referenced test items.
5. Performance guides may be used to identify those prerequisites required of students entering the program.
6. Performance guides may be used as learning checkpoints which must be addressed in preparing the student for task accomplishment.

DEFINITION OF TERMS

Catalog. A comprehensive collection of performance objectives, performance guides, and related data developed in a specific domain.

Domain. A group of job titles that are related on the basis of required skills and knowledge.

Duty. A cluster of related tasks performed by incumbent workers in an occupational domain.

Occupational Analysis. The process of reviewing elements of a job for the purpose of improving training program content across program levels of vocational-technical education.

Occupational Inventory. A survey instrument listing tasks performed and tools and equipment used by job incumbents in an occupational domain.

Occupational Survey. The procedure for collecting data to identify the duties and tasks that comprise one or more jobs, job types, or career-field ladders, for the collection and analysis of information concerning such duties.

Percent Members Performing. The percentage of the incumbent workers surveyed that perform a specific task.

Performance-based Instruction. Instruction which requires the learner's demonstration of specific competencies. The desired abilities are selected before the instruction is described and are clearly defined as observable performance objectives.

Performance Guide. A series of steps required for performance of a task, arranged in the sequence ordinarily followed.

Performance Objective. A statement, in precise measurable terms, of a particular behavior to be exhibited by a learner under specified conditions, including a standard of performance.

Task. A unit of work activity which constitutes logical and necessary steps in the performance of a duty. A task has a definite beginning and ending point in its accomplishments and generally consists of two or more definite steps.

Records Management. The application of systematic control over the creation, distribution, utilization, retention, storage, retrieval, protection, preservation, and final disposition of all types of records within a business organization.

STANDARD WORK SET

A "standard work set" for records management, as indicated in the Performance Objectives, was defined by the writing team as including the following:

File Cabinets

File Folders

File Guides

Out Guides

Records

Duty: RECORDS MANAGEMENT--GENERAL

Task: Sell new records-related programs to top management

---

1. PERFORMANCE OBJECTIVE

Given an outline of the program to be sold, building and equipment layout, current operating cost report, organization chart of department involved, and information on other company's programs, sell new records-related programs to top management. Background information gathered and report prepared; presentation made to management. (1)

PERFORMANCE GUIDE

1. Discuss the approach to be used with the program's sponsor.
2. Review current operations.
3. Identify specific cost savings.
4. Identify space savings.
5. Identify how the program will improve operating efficiency.
6. Prepare a report to management.
7. Meet with management to present the proposed program.
8. Ask for management support.

Duty: RECORDS MANAGEMENT--GENERAL

Task: Prepare records management manual

---

2. PERFORMANCE OBJECTIVE

Given policies and procedures, prepare a records management manual. Manual prepared and published. (1)

PERFORMANCE GUIDE

1. List reasons for writing the manual.
2. Secure agreement with supervisor and other interested management as to manual scope and objectives.
3. Determine area of coverage.
4. Research available information.
5. Decide on narrative or script writing style.
6. Prepare a preliminary draft and circulate for comments.
7. Use comments to revise procedures.
8. Publish manual.

Duty: RECORDS MANAGEMENT--GENERAL

Task: Establish standards of clerical work production for records personnel

---

3. PERFORMANCE OBJECTIVE

Given a task list and measurement units, establish standards of clerical work production for records personnel. Calculations must be completed for each task and standards established. (1)

PERFORMANCE GUIDE

1. List each task performed.
2. Establish measurement unit for work count of each task.
3. Observe time required for each employee to complete each task.
4. Accumulate standard task time for each employee.
5. Add reasonable allowance for non-productive time.
6. Divide total of 4 and 5 by number of employees measured to obtain standard.

Duty: RECORDS MANAGEMENT--GENERAL

Task: Educate personnel in other departments regarding the records management program

---

4. PERFORMANCE OBJECTIVE

Given a records manual and procedures, educate personnel in other departments regarding the records management program. Promotional materials must be prepared and copies of procedures assembled. Orientation sessions and tours conducted. (1)

PERFORMANCE GUIDE

1. Prepare promotional handout on the records management program.
2. Assemble copies of procedures for use of records management services.
3. Determine time frame and location for educational sessions.
4. Conduct brief orientation sessions in records management for personnel from other departments.
5. Arrange guided tours of records management facilities.
6. Give each participant copies of procedures and the promotional handout.
7. Answer questions.

Duty: RECORDS MANAGEMENT--GENERAL

Task: Sell new programs or systems to operating personnel

---

5. PERFORMANCE OBJECTIVE

Given an organization chart and an outline of the program to be used, sell new programs or systems to operating personnel. Program must be installed and running smoothly. (1)

PERFORMANCE GUIDE

1. Become thoroughly familiar with the operations of the department.
2. Become acquainted with the individuals in the department.
3. Discuss current problems with operating personnel and departmental management.
4. Align yourself with the user.
5. Identify the new program and define its components.
6. Explain the program to operating personnel and management.
7. Implement the program.
8. Prepare a benefits fact sheet.
9. Evaluate results.

Duty: RECORDS MANAGEMENT--GENERAL

Task: Hire records management personnel

6. PERFORMANCE OBJECTIVE

Given identity of job to be filled, salary rates, a guide for conducting interviews, and interview detail sheets, hire records management personnel. Job description will be prepared and job advertisement written. Applications must be reviewed and interviews conducted. Interview detail sheets completed; records management personnel hired. (1)

PERFORMANCE GUIDE

1. Write job description.
2. Determine salary range.
3. Advertise the job.
4. Review all applications.
5. Select personnel to be interviewed.
6. Conduct interviews.
7. Complete interview detail sheets.
8. Select prospective employee.
9. Offer job to selected applicant.
10. Hire applicant.
11. Send interview detail sheets to personnel department.

Duty: RECORDS MANAGEMENT--GENERAL

Task: Orient new employees to the total records management program

---

7. PERFORMANCE OBJECTIVE

Given a records manual, procedures, training aids, information on job advancement opportunities, and the standards work set, orient new employees to the total records management program. Training manual must be prepared and training programs conducted. (1)

PERFORMANCE GUIDE

1. Decide on scope of training program.
2. Prepare employee training manual.
3. Assemble training aids.
4. Schedule training sessions.
5. Conduct training sessions.
6. Distribute training manual.
7. Conduct hands-on activities.
8. Discuss opportunities for advancement.
9. Answer questions.

Duty: RECORDS ORGANIZATION AND EVALUATION PROCEDURES

Task: Organize a records retention committee

---

8. PERFORMANCE OBJECTIVE

Given an organization chart, a records management policy, and a records manual, organize a records retention committee. Committee members must be identified; committee established and ready to function. (2, 60)

PERFORMANCE GUIDE

1. Establish committee objectives.
2. Determine committee responsibility.
3. Determine necessary functional representation on the committee.
4. Appoint committee members.
5. Provide committee orientation as to policy, purpose, and scope of records management program.

Duty: RECORDS ORGANIZATION AND EVALUATION PROCEDURES

Task: Prepare physical inventory of all records accumulations

---

9. PERFORMANCE OBJECTIVE

Given blank records inventory sheets, an index to the files, an organization chart, and the standard work set, prepare a physical inventory of all records accumulations. Inventory sheets must be completed for all records in the department. The sheets must be alphabetized and numbered sequentially. (1)

PERFORMANCE GUIDE

1. Orient department personnel to the purpose of the project.
2. Include all areas and all records of the department.
3. Determine the function of the department, the types of records retained, and the purposes the records serve.
4. Obtain an index to the files.
5. Review the records and complete all items on the inventory sheet except "departmental retention recommendations" and "legal requirements."
6. Use a separate inventory sheet for each records category.
7. Arrange sheets in alphabetic order by department and record title.
8. Number the inventory sheets sequentially.

Duty: RECORDS ORGANIZATION AND EVALUATION PROCEDURES

Task: Determine federal and state legal requirements for records retention

---

10. PERFORMANCE OBJECTIVE

Given partially completed inventory sheets and the "Guide to Federal Records Retention Requirements," determine federal and state legal requirements for records retention. Inventory sheets for records governed by state or federal regulations will show the specified time for retention and designation of the appropriate reference. (1)

PERFORMANCE GUIDE

1. Determine the type of business the company is involved in.
2. Determine what federal agency(s), if any, regulates the retention of the company's records.
3. Review the regulatory agency's requirements in the "Guide to Federal Records Retention Requirements."
4. Enter the retention time period and the code of federal regulations number on the records inventory sheet.
5. Determine the states in which the company conducts business.
6. Obtain regulations from the appropriate states and review for records retention requirements.
7. Enter the time period and the state name on the records inventory sheet, when necessary.
8. Arrange inventory sheets in alpha-numeric order.

Duty: RECORDS ORGANIZATION AND EVALUATION PROCEDURES

Task: Determine administrative retention period for records

---

11. PERFORMANCE OBJECTIVE

Given partially completed records inventory sheets and an organization chart, determine the administrative retention period for records. Each inventory sheet will show the department retention recommendation for the record. (1)

PERFORMANCE GUIDE

1. Compile all inventory sheets for the department.
2. Review the inventory sheets.
3. Become familiar with the types of records retained by the department.
4. Meet with the department manager.
5. Determine the operating need and retention period for each record.
6. Enter the retention period on the records inventory sheet.
7. Keep the inventory sheets in alpha-numeric sequence.

Duty: RECORDS ORGANIZATION AND EVALUATION PROCEDURES

Task: Establish records retention schedules

---

12. PERFORMANCE OBJECTIVE

Given records retention schedule forms, completed records inventory sheets, and names of the members of the records retention committee, establish a retention schedule. All records categories should be entered on the retention schedule, and a suitable time period indicated for each. Approval signatures must be obtained. Remarks will be filled in where necessary. (1)

PERFORMANCE GUIDE

1. Check the completed records inventory sheets to insure correct alpha-numeric order.
2. Enter the company name, department name, and section on each records retention schedule page.
3. Number the pages of each department's records retention schedule sequentially.
4. Enter the following information on the records retention schedule from the completed records inventory sheets:
   a. Item number for the record or record series
   b. Title of the record or record series
   c. The number of the form
   d. Total time the record is to be retained
   e. Retention time in active files
   f. Retention time in inactive storage
   g. The name of the department holding the official copy of the record
   h. Remarks, if any (vital record, historical record, the federal or state source of the retention period shown, etc.)
5. Submit the completed schedule to the records manager for approval or comments before typing.
6. Proofread typed schedule.
7. Submit completed, typed schedule to the department manager for his approval and signature.
8. Submit schedule, after manager's approval, to the records retention committee for approval.
9. Fill in effective date.
10. Furnish copies of approved schedule to department manager.
11. Forward original signed schedule to records manager.
12. Forward a copy of the approved schedule to the manager of the records center.
13. Send records inventory sheets to inactive records storage.

Duty: RECORDS ORGANIZATION AND EVALUATION PROCEDURES

Task: Identify archival company records for permanent storage

---

13. PERFORMANCE OBJECTIVE

Given copies of approved records retention schedules and a copy of the guidelines for selection of archival records, identify archival company records for permanent storage. Records retention schedule will be prepared so that archival records can easily be identified by reviewing the "remarks" column in the schedule. (1)

PERFORMANCE GUIDE

1. Review records retention schedules for selection of archival records.
2. Identify records classified as archival.
3. Mark total retention period on records retention schedule as "permanent."
4. Enter identification "archival records" in remarks column on records retention schedule.

Duty: RECORDS ORGANIZATION AND EVALUATION PROCEDURES

Task: Maintain up-to-date records inventories

---

14. PERFORMANCE OBJECTIVE

Given records retention schedules, completed records center index forms, notices of destruction of records, and a standard work set, maintain up-to-date records inventories. Inventory lists must be prepared so that a specific record/record series can be easily located in either active files or inactive storage. Departmental files will be maintained so that a specific department can identify all records retained in both active files and inactive storage. (1)

PERFORMANCE GUIDE

Active Records:

1. Prepare an alphabetical listing by records title of all records/records series shown on the retention schedule.
2. Add new records/records series to the list as they are established.
3. Delete records/records series from the list when they are no longer retained in active files.
4. Prepare copies of records retention schedules.
5. Compile and file copies alphabetically by department name.
6. Retain copies of current records retention schedules only in the department files.

Inactive Records:

1. Prepare an alphabetical list by records title of all records/records series maintained in inactive storage.
2. Update the listing each time a new box is received for storage in the records center.
3. Delete from the listing records/records series when they are destroyed.
4. Compile and file copies of the record center indexes alphabetically by department.
5. Delete copies of the records center index from department files when records are destroyed.

Duty: RECORDS ORGANIZATION AND EVALUATION PROCEDURES

Task: Plan the establishment and installation of new records series

---

15. PERFORMANCE OBJECTIVE

Given a request for a new record series, a records retention schedule, an inventory list of active records, a standard work set, and a records manual, plan the establishment and installation of new records series. Entries will be made on the retention schedule and inventory list. The record series must be installed according to established guidelines and procedures. (1)

PERFORMANCE GUIDE

1. Receive notification that a new record series is desired.
2. Verify the need for the new series.
3. Prepare guidelines and procedures for installing and maintaining the record series.
4. Enter the new series on the appropriate records retention schedule and inventory list.
5. Insert the procedures in the records manual.
6. Review guidelines and procedures with the individual responsible for setting up the file.
7. Audit after installation is complete.
8. Provide aid on request.

Duty: RECORDS ORGANIZATION AND EVALUATION PROCEDURES

Task: Evaluate the effectiveness of the records management program

---

16. PERFORMANCE OBJECTIVE

Given documentation of the current program, an audit checklist, and a standard work set, evaluate the effectiveness of the records management program. Audit must be completed; problem areas and non-compliance areas must be identified. Plans for remedial action will be prepared. Tickler file will be set up. (1)

PERFORMANCE GUIDE

1. Periodically perform an audit of records management activities in several pre-selected areas.
2. Interview users to:
   a. Identify any problems with the current system
   b. Identify areas where new or additional systems are needed
   c. Identify areas where outdated systems exist
3. Evaluate the results of the audit and the responses to the interviews.
4. Document the findings.
5. Prepare procedures and implementation plans for necessary remedial action.
6. Set target dates for the completion of actions.
7. Set up a tickler file by target date and date of next scheduled audit.

Duty: RECORDS ORGANIZATION AND EVALUATION PROCEDURES

Task: Maintain records retention schedules

---

17. PERFORMANCE OBJECTIVE

Given completed and approved records retention schedules and blank indexing cards or forms, maintain records retention schedules. Alphabetic and chronological lists will be compiled; a procedure must be written to cover adding new records categories or deleting those no longer retained. (1)

PERFORMANCE GUIDE

For Annual Review:

1. Compile all approved records retention schedules.
2. Prepare an alphabetical listing of all approved schedules by department showing:
   a. Department name
   b. Section name
   c. Effective date of the records retention schedule
3. Prepare a chronological listing by effective date of the schedule showing:
   a. Approval date
   b. Department name
   c. Section name
4. Review the lists periodically.
5. Determine which departmental schedules have approval dates of over one year old.
6. Perform an audit of records in those departments showing an approval date of more than one year old.
7. Prepare revised schedules if record series have been added or deleted in the departmental files since the last inventory.
8. Obtain approvals for the new schedules.
9. Enter appropriate data on alphabetical and chronological listings.

For Periodic Updates:

1. Prepare a procedure for adding or deleting recordsseries to the retention schedule.
2. Distribute the procedure to all departments.
3. Revise retention schedulesto include new records series when notice of establishment is received.
4. Obtain approvals for retaining new records series.
5. Delete from the schedules records no longer retained.

Duty: RECORDS ORGANIZATION AND EVALUATION PROCEDURES

Task: Implement new records programs or systems

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18. PERFORMANCE OBJECTIVE

Given documentation of a new program or system to be implemented, space, equipment, and authorized personnel, budgetary restrictions, floor plan of the buildings, and target date for completion of the entire project, implement new records programs or systems. Approved program must be implemented and operational. Budgetary restrictions must be met. Manuals will be prepared, and employees must be trained in the operation of the system. (1)

PERFORMANCE GUIDE

1. Develop a plan of action for implementing the new program.
2. Set a target date for completion of each phase of the project.
3. Obtain necessary office space.
4. Order equipment and supplies.
5. Write job descriptions for new personnel.
6. Hire personnel.
7. Prepare training manuals.
8. Conduct training sessions for records personnel.
9. Prepare and distribute records manual.
10. Hold orientation sessions for other company employees affected by the new program.
11. Operate the system.

Duty: RECORDS ORGANIZATION AND EVALUATION PROCEDURES

Task: Plan and organize new records programs or systems

---

19. PERFORMANCE OBJECTIVE

Given documentation on existing programs, organization charts, mission statements, manpower complement report, building layout, identification of problem areas and budget restrictions, plan and organize new records programs or systems. Procedures and implementation plans must be clear, concise, and workable; space, personnel, and equipment needs will be realistic. Cost analysis includes all pertinent items. Recommendations must be clear, concise, and include identification of problems, proposed solutions, and cost justifications. (1)

PERFORMANCE GUIDE

1. Review existing program.
2. Determine needs for new or revised system.
3. Prepare procedures and implementation plans for:
   a. Conducting records inventories
   b. Preparation and approval of records retention schedules
   c. Vital records identification and protection
   d. Archives identification and protection
   e. Records retrieval systems/central files
   f. Forms Control
   g. Correspondence Control
   h. Reports Control
   i. Micrographics
   j. Inactive records storage
   k. Destruction of records
   l. Reprographics
4. Identify space, personnel, and equipment needs.
5. Prepare cost analysis.
6. Submit recommendations for approval.

Duty: ACTIVE RECORDS

Task: Code records for filing

---

20. PERFORMANCE OBJECTIVE

Given a files index or company coding manual, code records for filing. The name selected as the caption will be underlined by colored pencil on the correspondence. (3,59)

PERFORMANCE GUIDE

1. Scan or read the record to determine the files caption.
2. Underline the caption by using a colored pencil.

Duty: ACTIVE RECORDS

Task: Cross-reference records

---

21. PERFORMANCE OBJECTIVE

Given cross-reference sheets, a standard work set, and files policies and procedures, cross-reference records. Cross-reference sheets will be prepared showing the filing caption of the record, a description of the record, the date of the record, and the code caption under which the orginal paper is filed. (4, 26)

PERFORMANCE GUIDE

1. Determine whether there is a need to cross-reference the record by analyzing users' information requirements.
2. Identify the files caption to be cross-referenced.
3. Determine the type of cross-referencing required.
4. Complete the cross-reference sheets.
5. File the original document under the main files caption.
6. File cross-reference sheets under the additional files captions as identified.
7. Post or update the files caption cross-referenced directly to an operating files index.
8. File the original document under the main files caption.

Duty: ACTIVE RECORDS

Task: Sort records for filing

---

22. PERFORMANCE OBJECTIVE

Given a sorting device and a standard work set, sort records for filing. All records to be filed must be alphabetized or sequenced according to the underscored captions. (3, 58)

PERFORMANCE GUIDE

1. Receive records for filing.
2. Check to make sure correspondence has been released for filing.
3. Locate the files caption.
4. Place records in the section of the sorter according to the primary classification of the record.
5. Arrange records in each section of the sorter according to the secondary classification of the record.
6. Arrange records in each section of the sorter according to the final files classification pattern.

Duty: ACTIVE RECORDS

Task: File records

---

23. PERFORMANCE OBJECTIVE

Given a sorting device and a standard work set, file records. All records received for filing will be placed in the proper folder with the heading to the left and the most recent date in the front. (5, 103)

PERFORMANCE GUIDE

1. Check to make sure records have been released for filing.
2. Index and code the records.
3. Prepare necessary cross-references.
4. Sort records.
5. Place the record in the folder with the heading to the left.

Duty: ACTIVE RECORDS

Task: Retrieve records from files in an office

---

24. PERFORMANCE OBJECTIVE

Given a request for records form, a files index, a standard work set, and a user authorization list, retrieve records from files. Requested records must be received by the authorized user. (1)

PERFORMANCE GUIDE

1. Receive a user request for active records.
2. Determine files caption.
3. Verify user authorization for access to record.
4. Identify physical location of record in the files.
5. Remove requested information from the files.
6. Complete charge-out procedure.
7. Forward information to requester.

Duty: ACTIVE RECORDS

Task: Prepare outguides for records taken temporarily from files

---

25. PERFORMANCE OBJECTIVE

Given outguides, a request for records, and a files authorization report, prepare outguides for records taken temporarily from the files. Outguides must identify the files caption, the individual who has the file, and when the records were removed. (1)

PERFORMANCE GUIDE

1. Receive a user request for records.
2. Remove requested information from the files.
3. Record the following information on the outguide:
   a. Date of the request
   b. Files caption
   c. Person's name or initials who is receiving the record

Duty: ACTIVE RECORDS

Task: Charge-out records upon request

---

26. PERFORMANCE OBJECTIVE

Given a request for records form, a standard work set, a files index, and a files authorization list, charge-out records upon request. Requests for filed records must be filled; the material must be charged to the person or persons who requested it. (3, 62)

PERFORMANCE GUIDE

1. Prepare an outguide from the information received upon the request.
2. Remove the requested information from the files and replace it with the completed outguide.
3. Place a copy of the request for records form in a tickler file to insure its return after two or more weeks.

Duty: ACTIVE RECORDS

Task: Follow-up overdue records

---

27. PERFORMANCE OBJECTIVE

Given a tickler file and a standard work set, follow-up overdue records. All overdue records are returned to the files or the corresponding outguides are updated. (1)

PERFORMANCE GUIDE

IF USING A TICKLER FILE:

1. Remove the forms from the tickler file indicating which records are overdue.
2. Contact the persons responsible for the overdue records and inquire as to the current status of the record.
3. Receive the record for refiling or update the outguide to reflect the record's current status.
4. Refile the records or outguides.

IF NOT USING A TICKLER FILE:

1. Conduct an outguide audit by reviewing every outguide in the files.
2. Remove the outguides that indicate overdue records.
3. Contact the persons responsible for the overdue records and inquire as to the current status of the records.
4. Receive the record for refiling or update the outguide to reflect the record's current status.
5. Refile the records or outguides.

Duty: ACTIVE RECORDS

Task: Use card file system to aid in finding records

---

28. PERFORMANCE OBJECTIVE

Given a card file and a request for records, use the card file to aid in finding records. The card file must be referenced, and the requested information retrieved from the files. (1)

PERFORMANCE GUIDE

1. Locate the card(s) in the card file indicating the requested information.
2. Determine the files caption (name/number).
3. Prepare an outguide.
4. Retrieve the record.

Duty: ACTIVE RECORDS

Task: Complete records transfer list according to company manual

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29. PERFORMANCE OBJECTIVE

Given retention schedules, records storage boxes, records transfer list forms, and an inactive records control file, complete a records transfer list according to the company manual. Inactive records will be purged from the files, the records transfer lists prepared, and the records and transfer lists forwarded to the inactive storage center. (1)

PERFORMANCE GUIDE

1. Select records to be transferred to inactive storage according to the department's retention schedule.
2. Pack the records into the storage boxes in files classification sequence.
3. Write the following information on the records transfer list:
   a. Department and location from which records are being transferred
   b. Date of the records transfer
   c. Total number of records storage boxes being transferred by the department
   d. Retention period of the records being transferred
   e. Title of the records being transferred
   f. Classification system utilized and the classification range of contents within each box
   g. Range of dates of the records
   h. Temporary sequential box number assigned to each records storage box
4. Remove and retain the originating office receipt copy of the records transfer list for verification of transfer.
5. Forward records and remaining copies of records transfer list to the inactive storage area.

Duty: ACTIVE RECORDS

Task: Prepare statistical reports on filing activities

30. PERFORMANCE OBJECTIVE

Given files policies/procedures, daily log reports, records management books, and a calculator, prepare statistical reports on filing activities. Statistical reports must contain: (1) total number of records sorted; (2) total number of records filed; (3) total number of records requested for reference; (4) total number of records retrieved; (5) total number of records purged, destroyed, or transferred to inactive storage; (6) activity ratio of the files; (7) accuracy ratio of the files; (8) error ratio of misfiled folders; and (9) error ratio of misfiled documents. (1)

PERFORMANCE GUIDE

1. Files supervisor identifies the filing activities to be included on the file clerks daily log reports, such as:
   a. Number of records sorted
   b. Number of records filed
   c. Number of records requested for reference
   d. Number of records retrieved
   e. Number of records purged, destroyed, or transferred to inactive storage
2. Files supervisor develops or assists in developing a daily log report form.
3. File clerks complete daily log reports on filing activities.
4. Files supervisor identifies additional items to be reported to management on filing activities as follows:
   a. Activity ratio of files
   b. Accuracy ratio of files
   c. Error ratio of misfiled folders
   d. Error ratio of misfiled documents
5. Files supervisor spotchecks folders on a random basis to calculate the error ratio of misfiled folders.
6. Files supervisor spotchecks documents within folders on a random basis to calculate the error ratio of misfiled documents.
7. File clerks submit daily log reports on filing activities to files supervisor.
8. Files supervisor prepares statistical report on filing activities for management.

Duty: ACTIVE RECORDS

Task: Train new employees in files operations

---

31. PERFORMANCE OBJECTIVE

Given files policies/procedures, a standard work set, a training manual, and training aids, train new employees in files operations. A training program must be conducted for all new files personnel and users. (1)

PERFORMANCE GUIDE

1. Analyze the current files operation.
2. Prepare the training program as follows:
   a. Identify the audience
   b. Determine the type of training required
   c. Determine where sessions are to be conducted
   d. Determine amount of time to be allotted to training
   e. Identify topics to be covered in the program
   d. Develop and/or assemble training manuals and audiovisual aids.
3. Conduct training sessions.

Duty: ACTIVE RECORDS

Task: Develop a user index of active files

---

32. PERFORMANCE OBJECTIVE

Given records management books, a standard work set, sample indexes, and manufacturers' catalogs/literature, develop a user index of active files. The index must contain all records titles contained in the files as well as all files classification codes (name/number). (1)

PERFORMANCE GUIDE

1. Analyze the current files operation.
2. Analyze the file users' information retrieval requirements.
3. Research and analyze alternatives available for developing a user index considering:
   a. Manual vs. automated index creation and maintenance
   b. Cards vs. visible strip indexing or arranged listings
   c. Key word indexing systems
   d. Methods of updating the index
   e. Distribution of index to files users vs. central reference location
   f. Cross-reference requirements, policies, and procedures
   g. Equipment and supplies required to house and maintain the index
   h. Applicable costs
4. Review the advantages and disadvantages of the alternatives available for developing user indexes.
5. Select desired method of indexing.
6. Prepare the index.

Duty: ACTIVE RECORDS

Task: Audit files operations

---

33. PERFORMANCE OBJECTIVE

Given a standard work set and files policies/procedures, audit files operations. All items on the Instructor Checklist must be rated acceptable by the instructor. (1)

PERFORMANCE GUIDE

1. Analyze current files operations.
2. Complete a systems checklist.
3. Interview files users and files personnel to help identify current systems problems.
4. Review findings.
5. Prepare a written audit report.
6. Submit to management.

P.O. #33

INSTRUCTOR CHECKLIST: Audit files operations

Activity	Rating*	
	Acceptable	Unacceptable
1. Analyze the types and volume of records maintained.		
2. Analyze the classification system utilized.		
3. Analyze the files policies and procedures.		
4. Analyze the workflow of the files operations.		
5. Analyze the types, condition, and volume of the filing equipment and supplies.		
6. Analyze the activity of the files operations.		
7. Spot-check files for errors.		

*All activities on checklist must be rated "acceptable."

Duty: ACTIVE RECORDS

Task: Formulate and establish filing procedures

---

34. PERFORMANCE OBJECTIVE

Given a procedure writing text, a sample procedures manual, and a flowcharting template, formulate and establish filing procedures. All filing procedures must be written and documented. (1)

PERFORMANCE GUIDE

1. Analyze files operations.
2. Interview files operators and users.
3. Identify the work processes to be covered.
4. Select titles for each work process.
5. Identify beginning and ending points of each work process.
6. Design flowcharts for each work process.
7. Select narrative or script writing style.
8. List instructions for each work process in a logical time sequence and identify responsibility of performer.
9. Develop a preliminary draft and circulate for comments.
10. Prepare final procedures document.
11. Distribute document to users.

Duty: ACTIVE RECORDS

Task: Determine the "best" filing system

---

35. PERFORMANCE OBJECTIVE

Given manufacturers' catalogs/literature, filing books, policies and procedures, records retention schedules, and file manuals, determine the "best" filing system. The most efficient, productive, and cost effective filing system for a particular situation must be proposed to management including documentation on cost and efficiency of the proposed system. (1)

PERFORMANCE GUIDE

1. Research and analyze all available files classification systems.
2. Research and analyze all available filing equipment and supplies.
3. Research appropriate regulations/legislation concerning the utilization and storage of records.
4. Analyze the current/proposed files operation.
5. Analyze the records contents.
6. Analyze the users' information and security requirements.
7. Analyze records retention schedules.
8. Review filing policies and procedures.
9. Observe other filing systems.
10. Review findings.
11. Determine the most efficient, cost-effective filing system for the given situation.
12. Prepare a proposal to management on the recommended system.

Duty: ACTIVE RECORDS

Task: Determine security requirements for the handling and storage of classified records

---

36. PERFORMANCE OBJECTIVE

Given confidential records, equipment manufacturers' catalogs, and filing policies/procedures, determine the security requirements for the handling and storage of classified records. Classified records must be stored in secure filing equipment and protected from unauthorized access. (1)

PERFORMANCE GUIDE

1. Identify records considered to be classified.
2. Review records listings and records with appropriate departmental personnel to identify classified records.
3. Research and analyze all available types of equipment for storing classified records.
4. Determine method of storage and protection required.
5. Develop a user authorization list.
6. Develop policies/procedures for all types of classified records.

Duty: ACTIVE RECORDS

Task: Establish filing methods for active records

---

37. PERFORMANCE OBJECTIVE

Given filing publications, a standard work set, a sample procedure manual, and filing policies/procedures, establish filing methods for active records. The filing method selected should provide for flexibility, expansion, and proper distribution of records. (6, 182)

PERFORMANCE GUIDE

1. Research and analyze various files classification methods.
2. Prepare a list of desired features of a record system.
3. Compare the list of desired features with alphabetic, numeric, geographic, and subject filing methods.
4. Prepare a proposal to management on the recommended filing method.

Duty: ACTIVE RECORDS

Task: Reorganize files for which you are responsible

---

38. PERFORMANCE OBJECTIVE

Given equipment and supplies literature, filing books, a standard work set, filing policies/procedures, and records retention schedules, reorganize files for which you are responsible. A new filing system must be developed, or select components of a system will be changed to improve the files operation. (1)

PERFORMANCE GUIDE

1. Observe and analyze the current files operation to determine the need to reorganize the files.
2. Identify current systems problems by interviewing the files users and files personnel.
3. Consider alternative solutions to improve the filing operation.
4. Identify the advantages and disadvantages of the solutions considered.
5. Determine the improvements needed in the system.
6. Receive approval from management to reorganize the files.
7. Select and order all necessary filing equipment and supplies.
8. Plan, develop, test, and document the files reorganization or conversion procedures.
9. Create all necessary system controls and document as policy/procedures.

Duty: ACTIVE RECORDS

Task: Write filing procedures manual

---

39. PERFORMANCE OBJECTIVE

Given a sample procedures manual, a standard work set, and filing procedures, write a filing procedures manual. The filing manual must identify the requirements and procedures for proper filing and list all necessary rules and regulations. (2, 279)

PERFORMANCE GUIDE

1. Determine rationale for writing a filing procedures manual.
2. Secure agreement with management as to the manual's scope and objectives.
3. Select narrative or script writing style.
4. Identify and describe the filing system(s).
5. Organize filing procedures into a logical time sequence.
6. Develop preliminary draft and circulate for comments.
7. Prepare final copy.
8. Publish and distribute the manual.

Duty: ACTIVE RECORDS

Task: Determine standards for storage equipment and supplies

---

40. PERFORMANCE OBJECTIVE

Given records management books, equipment and supplies catalogs, and filing policies and procedures, determine standards for storage equipment and supplies. Standards for storage equipment and supplies must be selected and approved to provide the advantages of interchangeability, quality procurement, simplified warehousing, and uniform appearance. (7)

PERFORMANCE GUIDE

1. Research records management books to identify standard sizes of paper and standard equipment and supply items.
2. Observe and analyze the records to be stored considering the following:
   a. Size of records
   b. Volume of records
   c. Activity of the records
   d. Classification system utilized
   e. Security requirements
3. Research and analyze all available types of filing equipment and supplies considering the following:
   a. Size
   b. Compatibility with the organization's standard record sizes
   c. Filing inches yielded
   d. Aisle space required
   e. Cost and percentage of discount on volume purchases
   f. Mobility of equipment
   g. Appearance
   h. Amount of floor space consumed
   i. Weight of loaded equipment on floor
   j. Compatibility with filing policies/procedures
   k. Degree of protection of records
   l. Productivity measurement
   m. Uniformity with existing equipment
4. Determine standards for filing equipment and supplies by conducting a cost and systems analysis of alternatives available.
5. Submit final recommendations to management in proposal format for approval.

Duty: ACTIVE RECORDS

Task: Review the need for new filing equipment

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41. PERFORMANCE OBJECTIVE

Given records retention schedules, a request for new equipment, and a files manual, review the need for new filing equipment. The request for new equipment is approved or denied and supported by documentation for the decision. (1)

PERFORMANCE GUIDE

1. Receive a request for new filing equipment.
2. Visit the requesting department to determine if:
   a. Present equipment is in good condition
   b. Filing equipment is utilized to store items other than records
   c. Records are being destroyed or transferred to inactive storage in accordance with the department's retention schedules
   d. Working space in each section of the files is sufficient
3. Analyze the volume of records.
4. Analyze the file operations.
5. Prepare a report recommending approval or denial of the equipment request.

Duty: ACTIVE RECORDS

Task: Recommend equipment and supplies for filing

---

42. PERFORMANCE OBJECTIVE

Given records management books, equipment and supplies catalogs, a standard work set, and filing procedures and policies, recommend filing equipment and supplies. A recommended list of equipment and supplies, with justification for purchase, must be prepared. (1)

PERFORMANCE GUIDE

1. Analyze various types of filing equipment.
2. Analyze various types of filing supplies.
3. Analyze current files operations.
4. Review filing procedures.
5. Prepare a proposal to management on recommended equipment and supplies.

Duty: ACTIVE RECORDS

Task: Determine arrangement of office area and equipment

43. PERFORMANCE OBJECTIVE

Given a drafting pad and cardboard for templates, determine the arrangement of office area and equipment. Equipment and furniture plan must provide for: (1) a smooth, efficient work flow; (2) adequate aisles and/or working space; (3) efficient lighting; (4) normal rates of business growth; and (5) an appealing, attractive, and pleasant working environment. (1)

PERFORMANCE GUIDE

1. Draft a drawing of the area to scale.
2. Identify types of equipment and furniture needed in each area.
3. Design templates to scale for each piece of equipment and furniture.
4. Arrange templates on drawing.
5. Sketch in proposed arrangement of office area and equipment.
6. Review sketch with management and users for approval.

Duty: INACTIVE RECORDS

Task: Retrieve records from storage outside the office

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44. PERFORMANCE OBJECTIVE

Given a charge-out form, records transfer lists, records storage boxes, and records center control files, retrieve records from storage outside the office. Records are retrieved from the records center, and the charge-out form is completed in triplicate and properly processed. (2, 332)

PERFORMANCE GUIDE

OFFICE PERSONNEL REQUESTING RECORDS FROM THE RECORD CENTER:

1. Telephone records center to request records or prepare request for records form and forward to the records center.
2. Records center personnel receives request and verifies user authorization for access to records.
3. Records center personnel retrieves records and completes charge-out form.
4. Records are forwarded to requestor.

RETRIEVING RECORDS IN THE RECORDS CENTER:

1. Receive a telephone call for a request for records.
2. Verify user authorization for access to records.
3. Prepare a charge-out form.
4. Identify records center location of records.
5. Remove requested information from the records center stacks.
6. Place first copy of the charge-out form in the files to replace the removed records.
7. Attach second copy of the charge-out form to the record as a routing slip.
8. Place third copy of the charge-out form in a suspense file for follow-up.
9. Forward records to authorized user.

Duty: INACTIVE RECORDS

Task: Supervise the destruction of records

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45. PERFORMANCE OBJECTIVE

Given records destruction notification forms, records destruction procedures, a receipt for destruction of records, and a destruction tickler file, supervise the destruction of records. Supervisor witnesses the destruction of the records; destruction control files must be updated. (1)

PERFORMANCE GUIDE

1. Notify appropriate management personnel that the destruction of specified records is due.
2. Obtain final authorization to destroy records.
3. Identify the destruction security requirements of each record series to be destroyed.
4. Determine the destruction mode(s) required.
5. Direct and oversee the processing of records for destruction.
6. Witness the destruction of the records.
7. Sign and receive a receipt for the destruction of the records.

Duty: INACTIVE RECORDS

Task: Process records for destruction or disposition

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46. PERFORMANCE OBJECTIVE

Given a retention schedule, records destruction notification forms, records destruction control files, and records destruction policies, process records for destruction or disposition. Records due for destruction must be destroyed according to established procedures; all destruction control files will be updated. (1)

PERFORMANCE GUIDE

DISPOSITION FROM ACTIVE OFFICE AREA:

1. Select records to be purged from the active office area.
2. Separate those records which should be transferred to inactive storage.
3. Notify appropriate management personnel that the destruction of specified records is due.
4. Obtain authorization to destroy records.
5. Determine the destruction security requirements of each records series.
6. Determine the destruction mode(s) required.
7. Destroy records.
8. Send records scheduled for transfer to an inactive storage area.
9. Complete the processing of internal control forms.

DISPOSITION FROM A RECORDS CENTER:

1. Determine which records are due for destruction.
2. Notify appropriate management personnel.
3. Obtain authorization to destroy records.
4. Determine the destruction security requirements of the records to be destroyed.
5. Determine the destruction mode(s) required.
6. Remove the storage cartons containing records to be destroyed from the records center stacks.
7. Code each box for destruction.
8. Place the boxes into a designated temporary destruction staging area.
9. Separate the boxes by mode of destruction.
10. Destroy the records.
11. Complete the processing of internal control forms.

Duty: INACTIVE RECORDS

Task: Determine methods of disposition of records

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47. PERFORMANCE OBJECTIVE

Given the Federal Register and retention schedules or inventory worksheets, determine methods of disposition of records. Records must be analyzed and a method of disposition consistent with organizational and files policy and/or federal regulations will be chosen. (1)

PERFORMANCE GUIDE

1. Analyze records contents.
2. Research federal regulations regarding specified records destruction.
3. Analyze permanent preservation of records as archival materials.
4. Analyze alternatives of selling records as scrap materials or for recycling purposes.
   a. Determine cost factors.
   b. Determine records security provisions.
5. Analyze methods of records destruction.
6. Prepare and submit proposal to management for approval of methods of disposition.

Duty: INACTIVE RECORDS

Task: Prepare records to be transferred from active files to inactive files

---

48. PERFORMANCE OBJECTIVE

Given a records retention schedule, low-cost binders/folders, records storage boxes, labels, and a records transfer list, prepare records to be transferred from active files to inactive files. Inactive records scheduled for transfer will be: (1) purged from the active files; (2) removed from expensive, high-reference binders and/or folders; and (3) packed in standard records storage boxes. (1)

PERFORMANCE GUIDE

1. Select records to be transferred to inactive storage according to the department's file manual or retention schedule.
2. Determine the quantity of storage boxes required.
3. Place an order for the boxes.
4. Remove records from binders and/or folders.
5. Place in low-cost manila binders or folders.
6. Pack the records into the storage boxes in files classification sequence.
7. Label each box.
8. Complete and process a records transfer list or records center control form.
9. Arrange for the transfer of records.

Duty: INACTIVE RECORDS

Task: Develop written procedures for records transfer

---

49. PERFORMANCE OBJECTIVE

Given sample records transfer procedures, a flowcharting template, and a records management book, develop written procedures for records transfer. All instructions for transferring records from active to inactive storage must be written, approved, and distributed. (1)

PERFORMANCE GUIDE

1. Analyze the records transfer process.
2. Interview select personnel involved with the records transfer.
3. Research other records transfer procedures.
4. Review records management textbooks covering records transfer.
5. Identify starting and ending points of the procedure.
6. Design a flowchart of the procedure.
7. Select narrative or script writing style.
8. List instructions in a logical time sequence.
9. Identify responsibility of steps performed.
10. Develop a preliminary draft.
11. Circulate for comments.
12. Use comments to revise procedures.
13. Publish and distribute procedures.

Duty: INACTIVE RECORDS

Task: Locate and design a records center for inactive records

---

50. PERFORMANCE OBJECTIVE

Given records management books, equipment and supply catalogs, a drafting pad, cardboard for templates, and sample records center procedures and forms, locate and design a records center for inactive records. A low-cost records center will be designed to: (1) provide adequate protection of inactive records; (2) yield no less than four cubic feet of records per square foot of floor space utilized; and (3) provide quick and efficient service to users. (7, 80)

PERFORMANCE GUIDE

1. Research the concept of modern record centers.
2. Research, observe, and analyze other record center operations.
3. Develop and establish records center objectives and policies.
4. Determine location of facility.
5. Select low-cost equipment and supplies for inactive records storage.
6. Layout and design the inactive records storage area.
7. Develop and establish records center controls and procedures.
8. Determine staffing requirements.
9. Select supplementary records center equipment and supplies.
10. Prepare and submit a proposal to management.

Duty: VITAL RECORDS

Task: Develop a vital records policy

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51. PERFORMANCE OBJECTIVE

Given an organization chart and a policy manual, develop a vital records policy. Policy statement should be written and approved by executive management. (1)

PERFORMANCE GUIDE

1. Consult with management to determine scope and content of the vital records policy.
2. Secure agreement as to specific responsibility for the vital records program.
3. Determine how the new policy should be issued.
4. Draft a proposed policy statement.
5. Submit to management for review.
6. Use comments to revise the policy statement.
7. Develop a policy distribution list.
8. Publish and distribute the policy.

Duty: VITAL RECORDS

Task: Select protection method for vital records

---

52. PERFORMANCE OBJECTIVE

Given an organization chart and a records retention schedule, select the protection method for vital records. Protection method must be assigned based upon operation, need, and nature of the record. (1)

PERFORMANCE GUIDE

1. Select vital records.
2. Interview orginator or custodian of record to determine:
   a. Record medium
   b. Frequency of update
   c. How soon needed following a disaster
3. Review various protection methods.
4. Select most appropriate protection method for each record.
5. List protection method on vital records schedule.

Duty: VITAL RECORDS

Task: Identify vital records

---

53. PERFORMANCE OBJECTIVE

Given an organization chart and vital records schedule forms, identify vital records. All vital records must be identified and listed on the vital records schedule. (1)

PERFORMANCE GUIDE

1. Classify each part of the company or organization into broad functional areas.
2. Determine the records essential for continuation of the function.
3. Conduct an evaluation of vital records employing a simulated disaster.
4. Identify additional vital record items.
5. Prepare a vital records schedule.

Duty: VITAL RECORDS

Task: Prepare a vital records schedule

---

54. PERFORMANCE OBJECTIVE

Given an organization chart and records retention schedules, prepare a vital records schedule. The vital records schedule must be prepared and approved. (1)

PERFORMANCE GUIDE

1. Design a vital records schedule form.
2. Use records retention schedules to identify records of each department.
3. Complete a vital records schedule form for each department.
4. Review vital records schedule with each department manager.
5. Distribute vital records schedule.
6. Place schedule in vital records manual.

Duty: VITAL RECORDS

Task: Develop and implement a control system for the transfer, control, and retrieval of vital records

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55. PERFORMANCE OBJECTIVE

Given a vital records policy and vital records schedules, develop and implement a control system for the transfer, control, and retrieval of vital records. Procedural instructions must be written, approved, and distributed. (1)

PERFORMANCE GUIDE

1. Establish a central control for vital records administrative procedures.
2. Approve vital records submissions to the vital records facility.
3. Ensure submissions of records to the facility on a timely basis.
4. Restrict access to the facility.
5. Conduct a periodic inventory/audit of the facility.
6. Establish master control files to record:
   a. Receipt of records
   b. Assignment of space
   c. Destruction of records
   d. Charge-outs of records
7. Prepare procedural instructions.
8. Obtain management approval.
9. Distribute copies of the instructions.

Duty: VITAL RECORDS

Task: Establish a vital reccrds facility

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56. PERFORMANCE OBJECTIVE

Given source books on vital records and vital records schedules, establish a vital records facility. Vital records center site will be selected based upon company needs and economic considerations. (1)

PERFORMANCE GUIDE

1. Secure agreement from management as to the level of protection required against both natural and man-made disasters.
2. Identify volume and medium of vital records.
3. Determine relative location and facility requirements of the vital records center.
4. Consider company-owned or commercial facilities.
5. Prepare analytical report.
6. Select vital records site.

Duty: VITAL RECORDS

Task: Conduct compliance audit of vital records control system

57. PERFORMANCE OBJECTIVE

Given vital records schedule and transfer forms, conduct a compliance audit of the vital records control system. Audit must be conducted and report made to management. (1)

PERFORMANCE GUIDE

1. Select a random sample of vital records control transmittal forms.
2. Check transmittal form against vital records retention schedule to test the following:
   a. Record is authorized for protection at the vital records facility
   b. Record was submitted on a timely basis consistent with the schedule requirement
   c. Record submission was signed by originator and records administrator
   d. File instructions and records disposition date has been noted
   e. Location of record has been entered on the form
3. Examine the physical storage location indicated on the transfer form.
4. Examine physical condition of the record.
5. Record deviations from standard procedure.
6. Prepare compliance audit report.

Duty: MICROGRAPHICS

Task: Determine type of microform to be used

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58. PERFORMANCE OBJECTIVE

Given a microfilm feasibility study and various microforms, determine the type of microform to be used. Facts will be reviewed and analyzed; recommendation must be made. (1)

PERFORMANCE GUIDE

1. Determine current status and cost of producing the record.
2. Determine end use.
3. Determine reference rate.
4. Determine volume and distribution method.
5. Consider roll firm if:
   a. The file is complete and will be retained in its original form
   b. The reference rate is low
   c. The film requires very limited distribution
6. Consider microfilm jackets if the file must be updated periodically.
7. Consider microfiche if:
   a. Documents or files that stand alone (reports, publications) are referenced frequently
   b. Documents that require wide distribution are used
   c. Files or documents that several people need to reference at the same time are used
   d. Confidential files or documents that must have limited distribution are used
8. Make recommendation based on an analysis of the facts.

Duty: MICROGRAPHICS

Task: Establish procedures to be used in microfilming

---

59. PERFORMANCE OBJECTIVE

Given a procedures writing text, a sample procedures manual, and a flowcharting template, establish procedures to be used in microfilming. Procedures are written and published. (1)

PERFORMANCE GUIDE

1. Analyze the microfilm operation.
2. Interview the equipment operators and potential users.
3. Identify the work processes to be covered.
4. Select titles for each process.
5. Identify beginning and ending point for each process.
6. Design flowcharts for each work process.
7. Select narrative or script writing style.
8. List instructions for each work process in logical time sequence.
9. Develop preliminary draft and circulate for comments.
10. Use comments to revise procedures.
11. Publish procedures.

Duty: MICROGRAPHICS

Task: Determine the need for computer output microfilm

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60. PERFORMANCE OBJECTIVE

Given a microfilm feasibility study and computer costs, determine the need for computer output microfilm. Cost figures will be prepared; comparisions made and recommendations written. (2)

PERFORMANCE GUIDE

1. Review microfilm feasibility study.
2. Determine whether hard copy is essential to the user(s).
3. Compile additional information on computer costs:
   a. Computer time and cost per hour
   b. Print time and cost per hour
   c. Number of copies made vs. number of copies needed
   d. Paper costs
   e. Postage and distribution costs
   f. Decollating and bursting costs
   g. Binding, labor and material costs
4. Determine cost of producing same number of units by computer output microfilm considering:
   a. Volume to be produced
   b. Type of microform to be used
   c. Whether work is to be done in-house or by a service bureau
5. Prepare cost comparisons.
6. Make recommendations.

Duty: MICROGRAPHICS

Task: Supervise the micrographics production center

---

61. PERFORMANCE OBJECTIVE

Given micrographics equipment, records to film, training manuals, requests for service, and the standard work set, supervise the micrographics production center. Documents will be prepared and microfilmed in accordance with the National Micrographics Association standards. Work schedules will be met. (2)

PERFORMANCE GUIDE

1. Assist in selection of personnel.
2. Train personnel in microfilming techniques.
3. Orient new employees.
4. Plan and schedule work assignments.
5. Schedule machine work load.
6. Monitor jobs processed and pending.
7. Evaluate employees performance.
8. Assign priorities to jobs received.
9. Maintain operating manuals and directives.
10. Requisition supplies and equipment.
11. Make recommendations for purchasing equipment.
12. Update training manuals.
13. Maintain training records for employees.
14. Handle special requests and problems.

Duty: MICROGRAPHICS

Task: Train personnel in microfilming techniques

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62. PERFORMANCE OBJECTIVE

Given training aids and reference books on micrographic systems and equipment, train personnel in microfilming techniques. Training program will be established; performance evaluations must be conducted. (2)

PERFORMANCE GUIDE

1. Prepare training manuals.
2. Assemble training aids and equipment.
3. Develop a training schedule.
4. Provide formal training, on-the-job training, and special assignments to develop the necessary skills.
5. Conduct periodic reviews of the program.
6. Evaluate training levels attained.

Duty: MICROGRAPHICS

Task: Formulate and establish reference service procedures for microfilmed records

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63. PERFORMANCE OBJECTIVE

Given a procedures writing text, a sample procedures manual, and a flowchart template, formulate and establish reference service procedures for microfilmed records. Procedures must be written and distributed. (1)

PERFORMANCE GUIDE

1. Gather background information on:
   a. Location of the file
   b. Rate of reference
   c. Confidential or limited-access data
   d. Equipment available
   e. Security considerations
2. Identify the work process to be covered.
3. Select titles for each process.
4. Identify beginning and ending points of each process.
5. Design flowchart of each process.
6. Select narrative or script writing style.
7. List instructions for each work process in logical time sequence.
8. Develop preliminary draft and circulate for comments.
9. Use comments to revise procedures.
10. Publish and distribute procedures.

Duty: MICROGRAPHICS

Task: Establish microfilm-control indexing systems

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64. PERFORMANCE OBJECTIVE

Given records for microfilming, literature on equipment and supplies, and information on indexing methods, establish microfilming-control indexing systems. Indexing system will be installed and operational. (1)

PERFORMANCE GUIDE

1. Analyze volume and content of records to be microfilmed.
2. Analyze user requirements.
3. Determine how information will be requested.
4. Analyze equipment and supplies.
5. Compare retrieval methods.
6. Determine type of indexing system.
7. Determine microform to be used.
8. Prepare proposal for system.
9. Submit proposal for comments.
10. Use comments to revise system.
11. Implement indexing system.

Duty: MICROGRAPHICS

Task: Determine in-plant or service bureau microfilming needs

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65. PERFORMANCE OBJECTIVE

Given information on the volume and type of records to be microfilmed and a calculator, determine in-plant or service bureau microfilming needs. Cost analysis will be completed showing in-house versus service bureau processing. (1)

PERFORMANCE GUIDE

1. Calculate total number of inactive documents to be microfilmed.
2. Estimate number of active documents to be microfilmed annually.
3. Calculate total amortized cost of basic microfilm equipment plus cost of supplies, labor, and overhead.
4. Calculate cost per image of in-house processing.
5. Consider benefits of service bureau processing.
6. Compare cost per image for in-house processing to cost per image for service bureau processing.
7. Prepare cost-analysis report.

Duty: MICROGRAPHICS

Task: Prepare a microfilm feasibility study

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66. PERFORMANCE OBJECTIVE

Given the standard work set, information on microfilm equipment, and costs of filming, prepare a microfilm feasibility study. Study will be completed. Data must be analyzed and report prepared. (2)

PERFORMANCE GUIDE

1. Interview manager of office using the records.
2. Determine the purpose, use, and volume of the records.
3. Determine how the data is generated.
4. Determine space requirements and cost of present system.
5. Inventory equipment used to house the records.
6. Place a value on the filing equipment being used.
7. Determine how much time is being spent sorting, filing, retrieving, and refiling documents.
8. Study and document the current indexing system.
9. Determine the number of retrievals made per day and the time required to make them.
10. Determine how much time is spent examining the records after they have been retrieved.
11. Determine how many people use the records.
12. Determine how long the records are to be retained.
13. Determine the annual volume of records generated.
14. Examine the condition of the records.
15. Analyze the facts gathered.
16. Prepare feasibility report.

Duty: FORMS CONTROL

Task: Establish criteria to determine what is a business form

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67. PERFORMANCE OBJECTIVE

Given paper form samples and data processing input/output forms, establish criteria to determine what is a business form. Criteria for a form must be established and inserted in the forms procedure manual. (1)

PERFORMANCE GUIDE

1. Identify and list the categories of preprinted forms used within the company.
2. Gather samples of overlays, flashes, and formats used on computer printing systems, COM equipment, word processing equipment, and video display terminals.
3. Determine what categories of paper, film, and magnetic formats will be controlled within the forms control program.
4. Define the term "business form" for use within the forms control program.
5. Determine the criteria for a form.
6. Insert criteria in the forms procedure manual.

Duty: FORMS CONTROL

Task: Design a new form

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68. PERFORMANCE OBJECTIVE

Given a layout pad, a ruler, a forms request, spray fix, and a forms design checklist, design a new form. The form must be properly designed and ready for printing; requester's specifications must be met. (1)

PERFORMANCE GUIDE

1. Review requirements as listed on forms request.
2. Interview users of the form.
3. Complete forms design checklist.
4. Decide on size and style of lettering.
5. Outline form dimensions on spacing chart.
6. Enter form title and form number.
7. Enter instructions.
8. Allocate space for each major segment.
9. Insert captions using block style.
10. Review, proofread, and make corrections.
11. Spray drawing with fixer.
12. Obtain requester's approval of form.

Duty: FORMS CONTROL

Task: Determine the quality of paper, size, and type to be used for forms

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69. PERFORMANCE OBJECTIVE

Given a glossary of printing terms and a forms request, determine the quality of paper, size, and type to be used in a form. Paper quality, size, and type must be specified to satisfy user, organization, and industry requirements. (1)

PERFORMANCE GUIDE

1. Receive forms request.
2. Interview forms user to determine form use, quantity needed, file practice, and method of completion.
3. Determine paper quality and weight requirements including:
   a. Handling frequency
   b. Type of document
   c. Distribution practice
   d. Manual/machine processing
   e. Back printed
   f. Construction
   g. Manufacturing constraints and standards
   h. Record retention period
   i. Environmental conditions
4. Determine paper size including:
   a. Filing practice
   b. Paper industry standard
   c. Company/organization standards
   d. Machine processing requirements
5. Determine type sizes including:
   a. Legal requirements
   b. Composition industry standard
   c. Design requirements
   d. Machine requirements
6. Obtain user feedback and/or approval.

Duty: FORMS CONTROL

Task: Develop instructions for the completion of forms

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70. PERFORMANCE OBJECTIVE

Given a form, develop instructions for the completion of the form. A form containing complete, concise instructions must be prepared. (1)

PERFORMANCE GUIDE

1. Determine type of instructions required.
2. Prepare wording of the instructions.
3. Revise and edit the wording.
4. Place instructions in a prominent location on the form.

Duty: FORMS CONTROL

Task: Process request for a new form and update forms control records

71. PERFORMANCE OBJECTIVE

Given functional and numeric files, process a request for a new form and update the forms control records. A new form must be created in accordance with specified control requirements; numeric and functional files must be updated. (1)

PERFORMANCE GUIDE

1. Receive rough draft from forms author.
2. Interview forms author to determine:
   a. Justification for new form
   b. New or revised form
   c. Function form will perform
   d. Quantity required
   e. Distribution to other departments or customers
   f. Machine or hand prepared
   g. Target delivery date
   h. Packaging specifications
3. Research functional file for forms with similar functions.
4. Assign form number.
5. Prepare numeric file folder.
6. Write construction specifications.
7. Design draft.
8. Obtain approval from forms author.
9. Obtain approval from other departments affected.
10. Determine cost of printing form.
11. Release draft for printing.
12. Obtain samples of new forms.
13. Update numeric and functional files.

Duty: FORMS CONTROL

Task: Install functional and numeric form files

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72. PERFORMANCE OBJECTIVE

Given the standard work set and form samples, install functional and numeric form files. A file of business forms arranged both functionally and numerically must be completed. (1)

PERFORMANCE GUIDE

1. Gather five samples of each form used in the organization.
2. Install the functional file:
   a. Develop a functional dictionary to include subject, modifier, and function of business forms used within the organization.
   b. Prepare a functional file folder for each major business function.
   c. Classify forms with similar functions and place one sample of each form in the appropriate functional folder.
   d. Arrange functional file folders in alphabetic sequence.
3. Install the numeric forms file:
   a. Develop a number assignment system where each number assignment includes:
      (1) A prefix number or alpha character for each major functional area of the organization
      (2) A sequential number
      (3) A suffix character or date to indicate form revision level
   b. Prepare a numerical file folder (sometimes called a history file) and place two samples of each form inside the folder.
   c. Place pertinent correspondence, specifications, and order information inside the numerical file folders.
   d. Sequence file folders.

Duty: FORMS CONTROL

Task: Recommend a new form design be implemented

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73. PERFORMANCE OBJECTIVE

Given a request for a new form and form samples, recommend a new form design be implemented. A proposal report for a new form will be prepared for management; the report must include the proposed design and documented benefits derived from adoption of the new form. (1)

PERFORMANCE GUIDE

1. Gather completed samples of existing forms.
2. Determine the need for a new form design.
3. Determine advantages of new form design.
4. Price out tangible cost benefits of new design.
5. List intangible benefits.
6. Prepare a report to management on the proposed new design.

Duty: FORMS CONTROL

Task: Establish channels for the distribution of forms

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74. PERFORMANCE OBJECTIVE

Given forms, an organizational chart, and records management books, establish channels for the distribution of forms. Forms requisition and distribution process must be written and approved by management. (1)

PERFORMANCE GUIDE

1. Interview the forms author to:
   a. Determine number of users and how often the form must be completed
   b. Decide if a form will require one time distribution or recurring distribution
   c. Decide if the form should be stocked internally or by a vendor
   d. Develop estimated annual usage
2. Establish a central forms storeroom for distribution of standard forms.
3. Develop a standard requisition form to be used by field locations to order standard forms from the central forms storeroom.
4. Develop economic order quantities and order frequencies for standard forms.
5. Establish a charge-back system based upon forms procurement, warehousing, and distribution costs.
6. Collaborate with the purchasing organization to develop volume discounts, contracts, blanket orders, and direct-to-user drop shipments.
7. Document the forms distribution procedure.

Duty: FORMS CONTROL

Task: Maintain functional forms file

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75. PERFORMANCE OBJECTIVE

Given a functional file dictionary and a functional file system, maintain a functional forms file. File must contain one copy of each form classified by purpose and placed in a subject-title folder. (2, 242)

PERFORMANCE GUIDE

1. Maintain in alphabetical order a file folder for each function outlined in the functional file dictionary.
2. Place one sample of each new form in the appropriate subject-title file.
3. Update the functional dictionary whenever a new function is added.
4. Reference the functional file whenever a request for a new form is received.

Duty: FORMS CONTROL

Task: Write policy and procedures manual concerning the use of forms

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76. PERFORMANCE OBJECTIVE

Given an organization chart, a sample policy instruction, and a sample procedures manual, write a policy and procedures manual concerning the use of forms. Manual should be written, approved, and distributed. (1)

PERFORMANCE GUIDE

1. Write a forms policy statement:
   a. Determine management's position regarding forms design and control
   b. Determine the scope of policy coverage
   c. Outline responsibilities for administration and compliance with the proposed policy
   d. Decide whether the policy will be written as a new policy or combined with an existing policy
   e. Draft a proposed policy and submit for executive approval
   f. Publish and distribute
2. Develop a forms manual:
   a. List reasons for writing the manual
   b. Secure agreement with supervisor and other interested management as to the manual's scope and objectives
   c. Determine areas of coverage
   d. Research available information for each area of coverage
   e. Decide on a narrative or script writing style
   f. Develop a preliminary draft and circulate for comments
   g. Develop a distribution list
   h. Order the binders and tabs
   i. Publish and distribute the manual

Duty: FORMS CONTROL

Task: Analyze forms design for purpose of improving, combining, or eliminating forms

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77. PERFORMANCE OBJECTIVE

Given a numeric file and a functional file, analyze forms design for purpose of improving, combining, or eliminating forms. Forms have been completely reviewed and areas of improvement noted. (1)

PERFORMANCE GUIDE

1. Review request to revise or reprint a business form.
2. Review numeric file for notes, correspondence, or memos suggesting changes to business forms.
3. Review functional file for related forms which can be combined.
4. Contact using departments to ensure that:
   a. Each part of multi-part form is still necessary
   b. Layout is in sequence with operations and related forms
   c. Form is adequately designed to provide for binding, punching, and filing
   d. Size is correct and economical
   e. Spacing is properly planned for machine-entered or hand-entered data
   f. Order quantity and order frequency is still valid

Duty: CORRESPONDENCE CONTROL

Task: Train personnel in letter-writing techniques

78. PERFORMANCE OBJECTIVE

Given a letter-writing manual and several letters that require a response, train personnel in letter-writing techniques. Training program must be established; performance evaluations must be conducted. (1)

PERFORMANCE GUIDE

1. Develop objectives.
2. Schedule training session.
3. Review letter-writing manual for use as a guide.
4. Instruct personnel in the following techniques of writing:
   a. Determine what the reader needs to know
   b. Identify the factual information
   c. Make notes of ideas as they come to mind
   d. Organize the facts into a logical sequence
   e. Write a rough draft
   f. Edit and proofread
   g. Complete final draft of the letter
5. Provide examples of acceptable letters containing the above-mentioned techniques.
6. Provide practice in letter writing.
7. Review initial drafts of letters and revise.
8. Answer questions.
9. Summarize letter-writing techniques.
10. Conduct evaluations of completed letters.

Duty: CORRESPONDENCE CONTROL

Task: Establish standards and guides in letter writing

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79. PERFORMANCE OBJECTIVE

Given several letters, establish standards and guides in letter writing for writers to follow. A list of standards and guides for letters must be prepared, approved, and distributed. (1)

PERFORMANCE GUIDE

1. Review correspondence.
2. Check letters for the following:
   a. Appearance
   b. Content
   c. Format
   d. Tone
3. Determine areas of needed improvement.
4. Prepare list of guidelines for writers.
5. Check for completeness.
6. Obtain approval of management.
7. Distribute to letter writers.

Duty: CORRESPONDENCE CONTROL

Task: Proofread correspondence

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80. PERFORMANCE OBJECTIVE

Given a letter containing various errors, proofread the correspondence correcting all errors. Letter must be error-free. (1)

PERFORMANCE GUIDE

1. Read letter to locate and correct the following errors:
   a. Misspelled words
   b. Omitted words
   c. Punctuation errors
   d. Grammatical errors
2. Review letter checking on accuracy of dates, figures, and wording.
3. Correct all errors.
4. Reread letter to insure accuracy.

Duty: CORRESPONDENCE CONTROL

Task: Determine and analyze costs of paperwork activities

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81. PERFORMANCE OBJECTIVE

Given examples of various business letters and information from the Dartnell Institute of Business Research, determine and analyze the costs of paperwork activities. Costs of business correspondence will be determined and alternate courses of action recommended. (1)

PERFORMANCE GUIDE

1. Obtain latest figures from Dartnell Institute of Business Research on costs of an average business letter.
2. Review a random sample of departmental/company correspondence to determine if written correspondence is necessary.
3. Recommend alternate courses of action for those letters that could be answered at less cost in another manner.
4. Establish criteria for types of correspondence that could be answered in alternate ways.

Duty: CORRESPONDENCE CONTROL

Task: Indicate routing of records

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82. PERFORMANCE OBJECTIVE

Given routing slips and several pieces of correspondence, indicate the routing of records. Records must be routed to the proper destination. (1)

PERFORMANCE GUIDE

1. Review record to determine department/person that should receive the record.
2. Sort records into various groupings according to destination.
3. Attach routing slips for single copies of records going to several destinations.
4. Forward records to departments as indicated by groupings and/or routing slips.

Duty: CORRESPONDENCE CONTROL

Task: Establish procedures for the distribution of mail

---

83. PERFORMANCE OBJECTIVE

Given a procedures writing text, a sample procedures manual, and a flowcharting template, establish procedures for the distribution of mail. Procedures are written and published. (1)

PERFORMANCE GUIDE

1. Analyze the mail management program.
2. Identify the work processes to be covered.
3. Select titles for each process.
4. Identify beginning and ending points for each process.
5. Design flowcharts for each work process.
6. Select narrative or script writing process.
7. List instructions for each work process in a logical time sequence.
8. Develop preliminary draft and circulate for comments.
9. Use comments to revise procedures.
10. Publish procedures.

Duty: CORRESPONDENCE CONTROL

Task: Standardize format of memoranda

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84. PERFORMANCE OBJECTIVE

Given a memorandum form and unarranged parts of a memorandum, standardize the format of memoranda. Memorandum should be arranged in block style using proper margins and spacing. (1)

PERFORMANCE GUIDE

1. Determine correct margins.
2. Use block style.
3. Include appropriate heading parts.
4. Use proper spacing between heading parts and body of the memorandum.
5. Double-space between paragraphs.
6. Include typist's reference initials.
7. Indicate attachments, if any.

Duty: CORRESPONDENCE CONTROL

Task: Improve the format of letters

---

85. PERFORMANCE OBJECTIVE

Given unarranged parts of a letter, improve the format of the letter. Letter should: (1) contain all essential parts; (2) be arranged in correct format; and (3) have proper spacing and margins. (1)

PERFORMANCE GUIDE

1. Determine length of letter.
2. Select appropriate margins and dateline position.
3. Choose letter style.
4. Include all essential parts in the letter.
5. Use proper spacing between letter parts.

Duty: CORRESPONDENCE CONTROL

Task: Group records for similarity of processing

---

86. PERFORMANCE OBJECTIVE

Given records of various types, group the records for similarity of processing. Records must be properly classified and sorted into groups. (1)

PERFORMANCE GUIDE

1. Review records to determine type.
2. Classify each record.
3. Sort into groups.
4. Process.

Duty: CORRESPONDENCE CONTROL

Task: Establish quality controls for correspondence

---

87. PERFORMANCE OBJECTIVE

Given several business letters, establish quality controls for correspondence. Quality controls for readability and appearance of correspondence have been established. (1)

PERFORMANCE GUIDE

1. Review letters.
2. Determine quality-control standards for correspondence.
3. Evaluate letters based on the established standards.
4. Approve or disapprove the mailing of the letters.

Duty: CORRESPONDENCE CONTROL

Task: Decide on follow-up method for correspondence needing further attention

---

88. PERFORMANCE OBJECTIVE

Given letters requiring a written response or action of some type, decide on follow-up method for correspondence needing further attention. Correspondence must be answered with appropriate action taken. (1)

PERFORMANCE GUIDE

1. Read correspondence.
2. Determine type of action required.
3. Perform appropriate action.
4. File correspondence noting action taken.

Duty: CORRESPONDENCE CONTROL

Task: Develop form letters

---

89. PERFORMANCE OBJECTIVE

Given a situation of a recurring nature and several copies of a similar request, develop a form letter. Form letter must be written, typed, and duplicated; form letter response must be appropriate for similar situations. (1)

PERFORMANCE GUIDE

1. Evaluate request/situation to determine if form letter response is appropriate.
2. Develop a form letter that will answer the request/situation.
3. Review form letter to determine appropriateness for similar situations.
4. Revise and proofread final copy.
5. Type final draft of letter leaving date, inside address, salutation, and other fill-ins blank.
6. Decide appropriate duplication process.
7. Duplicate.
8. Stock in advance of actual use.

Duty: REPORTS CONTROL

Task: Write policy and procedures manual for reporting system

---

90. PERFORMANCE OBJECTIVE

Given items to be included in the manual, write a policy and procedures manual for the reporting system. Manual will be written and include the policies and procedures inherent to the reporting system. (1)

PERFORMANCE GUIDE

1. List reasons for writing the manual.
2. Secure agreement with management as to manual scope and objectives.
3. Research current policies and procedures.
4. Decide on narrative or script writing style.
5. Prepare a preliminary draft and circulate for comments.
6. Revise manual incorporating suggestions of reviewers.
7. Prepare final copy of manual.

Duty: REPORTS CONTROL

Task: Establish system used in classifying reports

---

91. PERFORMANCE OBJECTIVE

Given reports and various classification systems, establish a system to classify reports. Classification system for reports will be established. (1)

PERFORMANCE GUIDE

1. Analyze reports contents.
2. Analyze user requirements.
3. Analyze equipment and supplies for storing reports.
4. Analyze classification systems available.
5. Prepare report classification system proposal.
6. Submit proposal to management and users.
7. Implement system.

Duty: REPORTS CONTROL

Task: Establish functional index for reports

92. PERFORMANCE OBJECTIVE

Given a reports inventory, copies of reports, index cards, a card file box, and guides for index cards, establish a functional index ror reports. The index should identify all reports issued within the organization; the reports index must be arranged alphabetically by subject matter. (2, 213)

PERFORMANCE GUIDE

1. Identify all reports issued within the organization.
2. Obtain copies of each report.
3. Review reports and select key words which reflect the purpose of each report.
4. Prepare index cards which show key words with reference to report title.
5. Prepare index cards by actual title.
6. Separate cards by function.
7. Sort cards within each function alphabetically.
8. Prepare file guides by function.
9. File cards and guides alphabetically by subject matter.

Duty: REPORTS CONTROL

Task: Analyze reports for the purpose of determining need

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93. PERFORMANCE OBJECTIVE

Given reports and inventory sheets, analyze reports for the purpose of determining need. Data should be collected and reviewed and results sent to originators and users; summary report will be prepared for management. (2, 213)

PERFORMANCE GUIDE

1. Review inventory sheets for users' responses regarding need.
2. Review report data.
3. Determine whether data is available from another source.
4. Review cost of using alternate source.
5. Determine whether report overlaps another.
6. Send results of analyses to report originator and users for comments.
7. Prepare summary memorandum covering all reports.
8. Forward report to management.

Duty: REPORTS CONTROL

Task: Inventory and control existing reports

---

94. PERFORMANCE OBJECTIVE

Given the standard work set and several reports, inventory and control existing reports. Inventory sheets will be sent out and data collected. The data should be analyzed and entered in the log. Reports will be collected, filed, and indexed. (2, 211)

PERFORMANCE GUIDE

1. Design a reports inventory form.
2. Prepare instructions.
3. Distribute instructions and forms to reports originators.
4. Analyze completed inventory forms.
5. Determine:
   a. Function
   b. Content
   c. Distribution
   d. Procedures used in preparation and distribution
   e. Frequency of issue
   f. Need
6. Summarize data on reports inventory log.
7. Collect copies of all existing reports.
8. Maintain a reports functional file and index.

Duty: REPORTS CONTROL

Task: Manage the creation and use of directives or written records management procedures

---

95. PERFORMANCE OBJECTIVE

Given directives, procedures, and a draft of a proposed directive, manage the creation and use of directives or written records management procedures. Control system must be set up. Proposed directive will be reviewed and approved. A number and date have been assigned to the directive The final copy will be entered into the system. (2, 218)

PERFORMANCE GUIDE

1. Group all existing directives and procedures by subject.
2. Assign an identifying number to each group.
3. Maintain a cross-index to the directive and/or procedure by subject and number.
4. Prepare procedures for controlling issuance of directives and procedures.
5. Prepare a standardized, simplified format to be used for directives and procedures.
6. Coordinate drafts of directives or procedures to be issued.
7. Circulate drafts of proposed directives or procedures to all interested departments for comment.
8. Evaluate comments and incorporate desired changes.
9. Review final draft for adherance to requirements.
10. Assign consecutive numbers to each directive/ procedure.
11. Forward final draft to authorized person for final approval.
12. Place proper date on approved draft.
13. Forward approved draft for typing and reproduction.
14. Enter final copy into control system.

Duty: REPROGRAPHICS

Task: Establish a cost-reduction program for copying and duplicating

---

96. PERFORMANCE OBJECTIVE

Given reprographics policies/procedures and questionnaires, establish a cost-reduction program for copying and duplicating. Cost-reduction program must be implemented and results reported to management. (1)

PERFORMANCE GUIDE

1. Review reprographics objectives and control procedures.
2. List cost figures by machine.
3. Compare organization's cost per copy with government and industry.
4. Establish goal for cost reduction.
5. Review traditional cost-reduction techniques.
6. Select techniques which apply to conditions.
7. Implement cost-reduction program.
8. Report results to management.

Duty: REPROGRAPHICS

Task: Determine best copier selection for department

---

97. PERFORMANCE OBJECTIVE

Given manufacturers' catalogs, a calculator, and a copier specification guide, determine the best copier selection for a department. Copier recommendation is made based upon user, vendor, price, quality, environmental, and productivity considerations. (1)

PERFORMANCE GUIDE

1. Receive request for a new copier.
2. Determine user needs.
3. List copier models which match user specifications.
4. Compare pricing plans and total cost projections.
5. Research reliability, environmental, quality, and productivity considerations.
6. Select several copiers for consideration.
7. Prepare copier cost analysis.
8. Recommend specific copier.

Duty: REPROGRAPHICS

Task: Develop average cost per copy (CPC) for organization

---

98. PERFORMANCE OBJECTIVE

Given reprographics questionnaires and a calculator, develop the average cost per copy for the organization. Costs per copy will be calculated for various reprographics machines. (1)

PERFORMANCE GUIDE

1. Refer to completed reprographics questionnaires.
2. Calculate cost per copy for copy machines.
3. Calculate copy per copy for duplicating machines.
4. Calculate total cost per copy for copying and duplicating machines combined.
5. Prepare CPC report for various machines.

Duty: REPROGRAPHICS

Task: Identify and report reprographics costs

---

99. PERFORMANCE OBJECTIVE

Given a calculator and a sample questionnaire, identify and report reprographics costs. Report containing reprographics costs for the organization must be written. (1)

PERFORMANCE GUIDE

1. Develop and install account codes covering the various classes of reprographic equipment.
2. Develop questionnaire to collect cost data.
3. Summarize questionnaire data.
4. Compute total costs.
5. Prepare report to management.

Duty: REPROGRAPHICS

Task: Develop and implement reprographics control procedure

---

100. PERFORMANCE OBJECTIVE

Given a sample reprographics request form, develop and implement a reprographics control procedure. Procedures containing specific requirements for equipment control must be written. (1)

PERFORMANCE GUIDE

1. Develop a reprographics control procedure.
2. Design a reprographics equipment request form.
3. Review and evaluate all requests submitted on the control form.
4. Maintain a file of all request forms by department.
5. Maintain an inventory of all reprographic equipment in use.
6. Appoint reprographic coordinators for each department.
7. Publish procedures.

Duty: REPROGRAPHICS

Task: Develop and publish a policy to control the acquisition and use of reprographics equipment

---

101. PERFORMANCE OBJECTIVE

Given an organization chart, develop and publish a policy to control the acquisition and use of reprographics equipment. Policy establishing reprographic responsibility and specific control requirements will be written. (1)

PERFORMANCE GUIDE

1. Discuss the content and objectives of a proposed reprographics policy with interested management.
2. Determine organizational scope of policy coverage.
3. Establish responsibility for administration of the reprographics program.
4. Establish responsibility for coordination of policy requirements.
5. Pinpoint responsibility for interpretation of policy.
6. Document within the policy:
   a. A requirement to control the acquisition, use, and disposition of reprographic equipment and supplies
   b. A definition of reprographic equipment
   c. A written procedure to control all requests to add, renew, modify, replace, eliminate, or transfer reprographic equipment
7. Submit the draft policy to management for review.
8. Use comments to revise procedures.
9. Publish procedures.

APPENDIX A

SOURCES OF STANDARDS

The primary source of performance standards was the level of performance agreed upon by incumbent workers and supervisors who served on the writing team or as consultants to the team. The secondary source of performance standards was job-based information obtained from textbooks and technical manuals.

The source of the standard is identified in parentheses after each performance objective, i.e., (2) or (5, 54). The first number in the parentheses refers to a source identified in the list of sources and the second number, if there is one, refers to the page number.

Sources of a standard in no way imply that these are the only sources of an appropriate standard and certainly should not be construed as a blanket endorsement of the organization or publication from which the standard was secured. There may be other valid sources in addition to the one cited.

SOURCES OF STANDARDS

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APPENDIX B

EQUIPMENT AND TOOLS

Equipment/Tool Description

Aperture Cards
Card Files
Computer Output Microfilm
Copiers
File Folders
File Guides
Flowcharting Template
Lateral Files
Legal-size File Cabinets
Letter-size File Cabinets
Magnetic Tape Files
Microfiche
Microfilm
Microfilm Jackets
Microform File Drawers
Microform File Trays/Bins
Open-shelf Files
Planetary Camera
Reader
Reader-Printer
Rotary Camera
Rotary Files
Sorter
Storage Boxes
Tickler Files
Transfer Cases
Vaults
Vertical Card Files
Visible Card Files

APPENDIX C

RECORDS MANAGEMENT BIBLIOGRAPHY

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APPENDIX D

CROSS-REFERENCE TABLE

The following table of task performance by records management job category is designed to aid teachers in implementing this catalog of performance objectives and performance guides with various instructional programs. The table depicts task performance by listing percentages of performance for entry-level, intermediate, and advanced records management incumbents based on research by Wallace (1979). Thus, this table will assist teachers in choosing those tasks which are appropriate for a particular instructional level, i.e., high school, community/ junior college, or four-year college/university level. Tasks were selected based on the frequency of performance rating as determined by each job category.

Tasks performed by 50 percent or more of the records management incumbents in entry-level, intermediate, and advanced job categories are the suggested <u>minimum</u> tasks which should be included in a records management course on the high school, community/junior college, and four-year college/university level. The word minimum is emphasized to indicate that where more course time is available, particularly at the post-secondary level, additional tasks should be taught for comprehensive knowledge of records management. Those additional tasks can be selected by referring to the following cross-reference table which lists task performance for the task statements by frequency of performance and differentiated by job category.

Tasks added by the writing team were not a part of the Wallace study and, thus, percentages of performance by job category for these tasks were not available.

For further clarification, the records management positions included in each job category are as follows:

Entry-Level Jobs

Records Center Clerk
Records Clerk/File Clerk
Records Technician

Intermediate-Level Jobs

Records Center Supervisor
Micrographics Services Supervisor
Records Supervisor
Reports Analyst
Forms Analyst
Micrographics Analyst
Reports/Forms Analyst
Micrographics Technician
Records Technician

Advanced/Managerial Jobs

Records Manager
Records Management Analyst
Records Management Coordinator
Archivist

TABLE OF TASK PERFORMANCE BY RECORDS MANAGEMENT
JOB CATEGORY

	TASK TITLE	JOB CATEGORY*		
		ONE	TWO	THREE
15.	Supervise the establishment and installation of new records series	27%	51%**	63%**
16.	Evaluate the effectiveness of the records management program	36	49	75**
17.	Maintain records retention schedules	50**	72**	71**
18.	Implement new records programs or systems	55**	62**	84**
19.	Plan and organize new records programs or systems	45	65**	90**
20.	Code records for filing	50**	37	23
21.	Cross-reference records	50**	40	21
22.	Sort records for filing	50**	38	21
23.	File records	64**	53**	23
24.	Retrieve records from files in an office	82**	66**	34
25.	Prepare outguide for records taken temporarily from files	55**	41	25
26.	Charge-out records upon request	52**	47	28
27.	Follow-up overdue records	41	37	24
28.	Use card file system to aid in finding records	41	40	23
29.	Complete records transfer list according to company manual	32	21	28
30.	Prepare statistical reports on filing activities	27	32	33

*KEY: 1 = Entry-level Positions/High School or Vocational School Training
2 = Intermediate-level Positions/Community or Junior College Training
3 = Managerial/Advanced Positions/Four-Year College or University Training

**Indicates the level at which task training is most appropriate.

TABLE OF TASK PERFORMANCE BY RECORDS MANAGEMENT
JOB CATEGORY

	TASK TITLE	JOB CATEGORY*		
		ONE	TWO	THREE
31.	Train new employees in files operations	--%	--%	--%
32.	Publish a user index of active files	23	21	24
33.	Audit files operations	18	38	45
34.	Formulate and establish filing procedures	50**	72**	59**
35.	Determine the "best" filing system	50**	68**	62**
36.	Determine security requirements for the handling and storage of classified or confidential records	--	--	--
37.	Establish filing methods for active records	73**	72**	61**
38.	Reorganize files for which you are responsible	59**	69**	41
39.	Write filing procedures manual	27	41	51**
40.	Determine standards for storage equipment and supplies	18	29	48
41.	Review the need for new filing equipment	45	75**	65**
42.	Recommend equipment and supplies for filing	68**	79**	74**
43.	Determine arrangement of office area and equipment	59**	57**	54**
44.	Retrieve records from storage outside the office	50**	53**	35
45.	Supervise the destruction of records	36	53**	51**

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2 = Intermediate-level Positions/Community or Junior College Training
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**Indicates the level at which task training is most appropriate.

TABLE OF TASK PERFORMANCE BY RECORDS MANAGEMENT
JOB CATEGORY

	TASK TITLE	JOB CATEGORY*		
		ONE	TWO	THREE
46.	Process records for destruction or disposition	59%**	49%	48%
47.	Determine methods of disposition of records	36	56%	70%
48.	Prepare records to be transferred from active files to inactive files	55**	49	36
49.	Develop written procedures for records transfer	18	22	58**
50.	Locate and design a records center for inactive records	18	31	52**
51.	Develop a vital records policy	--	--	--
52.	Select protection method for vital records	--	--	--
53.	Identify vital records	--	--	--
54.	Prepare a vital records schedule	--	--	--
55.	Develop and implement a control system for the transfer, control, and retrieval of vital records	--	--	--
56.	Establish a vital records facility	--	--	--
57.	Conduct compliance audit of vital records control system	--	--	--
58.	Determine type of microform to be used	27	31	49
59.	Establish procedures to be used in microfilming	41	38	48
60.	Determine the need for computer output microfilm	23	19	39

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3 = Managerial/Advanced Positions/Four-Year College or University Training

**Indicates the level at which task training is most appropriate.

TABLE OF TASK PERFORMANCE BY RECORDS MANAGEMENT
JOB CATEGORY

	TASK TITLE	JOB CATEGORY*		
		ONE	TWO	THREE
61.	Supervise the micrographics production center	36%	22%	22%
62.	Train personnel in microfilming techniques	36	31	27
63.	Formulate and establish reference service procedures for microfilmed records	27	25	32
64.	Establish microfilm-control indexing systems	27	31	42
65.	Determine in-plant or service bureau microfilming needs	32	32	43
66.	Prepare a microfilming feasibility study	41	34	62**
67.	Establish criteria to determine what is a business form	9	18	18
68.	Design a new form	59**	46	58**
69.	Determine the type of paper, size, and type to be used for forms	27	28	32
70.	Develop instructions for the completion of forms	--	--	--
71.	Process request for a new form and update forms control records	--	--	--
72.	Install functional and numeric forms files	23	22	27
73.	Recommend a new form design be implemented	59**	47	53**
74.	Establish channels for the distribution of forms	18	26	23

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**Indicates the level at which task training is most appropriate.

TABLE OF TASK PERFORMANCE BY RECORDS MANAGEMENT
JOB CATEGORY

	TASK TITLE	JOB CATEGORY*		
		ONE	TWO	THREE
75.	Maintain a functional forms file	23%	25%	21%
76.	Write policy and procedures manuals concerning the use of forms	5	16	30
77.	Analyze forms design for the purpose of improving, combining, or eliminating forms	41	38	43
78.	Train personnel in letter-writing techniques	18	13	13
79.	Establish standards and guides in letter writing	18	13	15
80.	Proofread correspondence	32	19	24
81.	Determine and analyze costs of paperwork activities	5	22	41
82.	Indicate routing of records	27	25	21
83.	Establish procedures for the distribution of mail	23	22	27
84.	Standardize format of memoranda	5	15	14
85.	Improve the format of letters	23	19	20
86.	Group records for similarity of processing	27	12	17
87.	Establish quality controls for correspondence	18	16	18
88.	Decide on follow-up method for correspondence needing further attention	36	19	22
89.	Develop form letters	36	25	32

*KEY: 1 = Entry-level Positions/High School or Vocational School Training
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TABLE OF TASK PERFORMANCE BY RECORDS MANAGEMENT
JOB CATEGORY

	TASK TITLE	JOB CATEGORY*		
		ONE	TWO	THREE
90.	Write policy and procedures manual for a reporting system	5%	6%	18%
91.	Establish a system used in classifying reports	9	13	15
92.	Establish a functional index for reports	14	10	16
93.	Analyze reports for the purpose of determining need	23	15	25
94.	Inventory and control existing reports	14	19	21
95.	Manage the creation and use of directives or written records management procedures	18	19	41
96.	Establish a cost reduction program for copying and duplicating	--	--	--
97.	Determine best copier selection for department	--	--	--
98.	Develop average cost per copy for the organization	--	--	--
99.	Identify and report reprographics costs	--	--	--
100.	Develop and implement reprographics control procedures	--	--	--
101.	Develop and publish a policy to control the acquisition and use of reprographics equipment	--	--	--

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